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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/696,817	10/30/2003	Hien K. Le	068215.0120	1300

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BAKER BOTTS L.L.P.  
2001 ROSS AVENUE  
SUITE 600  
DALLAS, TX 75201-2980

EXAMINER
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RAMPURIA, SATISH

ART UNIT	PAPER NUMBER
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2191

SHORTENED STATUTORY PERIOD OF RESPONSE	NOTIFICATION DATE	DELIVERY MODE
3 MONTHS	02/28/2007	ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

Notice of this Office communication was sent electronically on the above-indicated "Notification Date" and has a shortened statutory period for reply of 3 MONTHS from 02/28/2007.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

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## Office Action Summary

**Application No.**

10/696,817

**Applicant(s)**

LE, HIEN K.

**Examiner**

Satish S. Rampuria

**Art Unit**

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 30 October 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 30 October 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_

***DETAILED ACTION***

1. This action is in response to the application filed on October 30, 2003.
2. Claims 1-20 are pending.

***Priority***

3. Acknowledgment is made of applicant's claiming the benefits of the earlier filed **US Provisional Application** filed on October 31, 2002.

***Oath/Declaration***

4. The Office acknowledges receipt of a properly signed oath/declaration filed October 30, 2003.

***Specification***

5. The disclosure is objected to because of the following informalities:
6. The abstract of the disclosure is objected to because it contains more than 150 words. Correction is required. See MPEP § 608.01(b).
7. The use of the trademark/service mark "Rational Rose" has been noted in this application (i.e., page 13). It should be appropriate or proper term (i.e., Rational Rose®) (see MPEP 608.01(v)) used, wherever it appears and be accompanied by the generic terminology (for details please visit <http://www.ibm.com/legal/copytrade.shtml>). Although the use of trademarks is permissible in patent applications, the proprietary nature of the marks should be respected and every effort made to prevent their use in any manner which might adversely affect their validity as trademarks. Correction is required.

***Drawings***

8. The drawings were received on October 30, 2003. These drawings are acceptable by the examiner.

***Claim Rejections - 35 USC § 102***

9. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless --

(c) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

10. Claims 1-20 are rejected under 35 U.S.C. 102(e) as being anticipated by US Patent No. 2006/0235732 to Miller et al. (hereinafter, Miller).

**Per claim 1:**

Miller discloses:

A system facilitating software engineering and management in connection with a software development project according to a process that is compliant with a qualitatively measurable standard, comprising:

a server system operable to communicate with a plurality of client systems (See Fig. 11B and related discussion); a database associated with the server system and containing resources accessible to the client systems using the server system in connection with one or more software

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development projects (paragraph [0311] "...the navigator 1460 may forward the name of the document, the project of interest, and server storing the document. In response, one of the ASPs 1420 accesses the database engine 1430 to locate the desired template..."), the resources comprising at least:

first resources specifying a plurality of tasks to be performed within the process (paragraph [0040] "FIG. 2A, the organization then continues the process...planning and organizing the SEPG...by organizing the SEPG project resources... task is performed iteratively as needed to organize" and paragraph [0045] "Work packages are generally described in the CMM criteria and generally relate to the tasks and functions given to the various workers in a project") and specifying for each task one or more of:

a description of the task (paragraph [0092] "Step 320 involves coordinating the tasks associated with defining a strategy for the organization");

a description of how the task relates to the standard (paragraph [0093] "The first task in step 320, as illustrated in FIG. 3C, is to identify an organization strategy");

one or more activities to be performed for the task (paragraph [0040] "These tasks are performed in view of each project's requirements");

which personnel should perform the activities for the task (paragraph [0044] "An organization performs this step 225 to orient and train team members, to coach and evaluate team members, and to manage the physical resources assigned to the project");

one or more deliverables to be generated for the task (paragraph [0045] "tasks and functions given to the various workers in a project... project team then performs the work needed to develop the required deliverable good");

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one or more expected artifacts according to which the process will be measured against the standard (paragraph [0062] “During the meeting, the SEPG liaisons and project managers should review the matrix and determine which items have been met and those that would require additional information or documentation (artifacts)”); and

an expected time to complete the task (paragraph [0039] “determine a timeline for the estimate”); and

second resources comprising one or more templates (paragraph [0251] “the organization selects the relevant authoring and development tools and to define standards, templates, and development procedures”), each template operable to be customized in generating one or more deliverables for one or more tasks (paragraph [0049] “Any acceptance of final deliverables takes place in connection with completing the program”);

the server system operable to, at one or more times during a software development project:

receive from a user associated with a client system a request for one or more resources (paragraph [0115] “As the program determines its resource needs, the Program Resource Request is completed to obtain the resources”);

retrieve the requested resources from the database (paragraph [0115] “the Program Resource Request is completed to obtain the resources”); and

provide the requested resources to the user in connection with the software development project (paragraph [0115] “the organization may generally analyze resource requirements, initiate the procurement of goods and services, obtain human and physical resources from participating entities, assign these resources to projects, and release the resources upon project completion”).

**Per claim 2:**

The rejection of claim 1 is incorporated and further, Miller disclose:

The system of claim 1, wherein the standard comprises one or more maturity levels (paragraph [0015] “the present invention provides a method for producing a more mature product”), each maturity level comprising a plurality of key practice areas, each key practice area comprising a plurality of goals, each goal comprising a plurality of key practices (paragraph [0006] “The SW-CMM model defines five capability levels and identifies Key Process Areas (KPAs). The CMMI model replaces the KPAs with Process Areas (PAs). The lower levels of the CMMI and the related PAs focus mainly on management processes and industry minimal standards. Higher CMMI levels and the related PAs generally focus more on organizational and technical processes. The higher levels and their PAs also strive for "industry-best" practice”).

**Per claim 3:**

The rejection of claim 2 is incorporated and further, Miller disclose:

The system of claim 2, wherein the standard comprises the Software Engineering Institute's Software Capability Maturity Model (SEI/SW-CMM) (paragraph [0003] “The Capability Maturity Model.RTM. (CMM.RTM.) may refer specifically to the Capability Maturity Model for Software (SW-CMM) or, more generally, to a number of other process improvement models developed by the Software Engineering Institute (SEI) and registered to Carnegie Mellon University. The SW-CMM was the first model developed by the SEI...”).

**Per claim 4:**

The rejection of claim 2 is incorporated and further, Miller disclose:

The system of claim 2, wherein the description of how the task relates to the standard comprises an identification of one or more maturity levels, key practice areas, goals, and key practices to which the task relates (paragraph [0006] “The SW-CMM model defines five capability levels and identifies Key Process Areas (KPA)s. The CMMI model replaces the KPA)s with Process Areas (PA)s. The lower levels of the CMMI and the related PA)s focus mainly on management processes and industry minimal standards. Higher CMMI levels and the related PA)s generally focus more on organizational and technical processes. The higher levels and their PA)s also strive for "industry-best" practice”).

**Per claim 5:**

The rejection of claim 1 is incorporated and further, Miller disclose:

The system of claim 1, wherein each template comprises one of: a standard template generic to a plurality of software development projects within an enterprise (paragraph [0251] “the organization selects the relevant authoring and development tools and to define standards, templates, and development procedures”); and a deliverable generated in connection with a previous software development project (paragraph [0049] “Any acceptance of final deliverables takes place in connection with completing the program”).

**Per claim 6:**



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The rejection of claim 1 is incorporated and further, Miller disclose:

The system of claim 1, wherein the server system is further operable to, at one or more times during a software development project: receive a deliverable generated in connection with the software development project (paragraph [0049] “Any acceptance of final deliverables takes place in connection with completing the program”); store at least a portion of the deliverable in the database (paragraph [0286] “file storage device 1220 contains files 1222 that store data relating to one or more steps in Method 10 (FIG. 1)”); and make the stored portion of the deliverable accessible to the client systems for use (paragraph [0286] “when performing a step in Method 10, a user may select a file 1222 corresponding to that step”), with or without customization, in connection with subsequent software development projects (paragraph [0286] “the file may direct the user to undertake certain quality control actions during the development of a software application”).

*Claims 7-12* are the method claim corresponding to system claims 1-7, respectively, and rejected under the same rational set forth in connection with the rejection of claims 1-7, respectively, above.

*Claims 13-18* are the computer product claim corresponding to system claims 1-7, respectively, and rejected under the same rational set forth in connection with the rejection of claims 1-7, respectively, above.

*Claim 20* is the system claim corresponding to system claims 1-7 and rejected under the same rational set forth in connection with the rejection of claims 1-7, above.

***Conclusion***

11. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to **Satish S. Rampuria** whose telephone number is **(571) 272-3732**. The examiner can normally be reached on **8:30 am to 5:00 pm** Monday to Friday except every other Friday and Wednesday and federal holidays. Any inquiry of a general nature or relating to the status of this application should be directed to the **TC 2100 Group receptionist: 571-272-2100**.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, **Wei Y. Zhen** can be reached on **(571) 272-3708**. The fax phone number for the organization where this application or proceeding is assigned is **571-273-8300**.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Satish S. Rampuria  
Patent Examiner/Software Engineer  
Art Unit 2191

  
WEI ZHEN  
SUPERVISORY PATENT EXAMINER